

TO: First Steps Local Planning and Coordinating Councils

From: James M. Hmurovich, Director  
Division of Family and Children

Date: September 1, 2000

Re: First Steps Request for Funds

I am pleased to announce the First Steps Early Intervention Request for Funds. These funds are provided to the Indiana Family and Social Services Administration by the U.S. Department of Education and the State of Indiana to assist each county's Local Planning and Coordinating Council and System Point of Entry in coordinating a community based, interagency system of services for infants and toddlers with special needs and their families.

The Division of Family and Children is pleased to provide these funds to support the efforts of Indiana counties to coordinate services for eligible children and their families.

In order to assist your development of this grant application, the RFF has been formatted to expedite your response. For your convenience, the Bureau has included a survey for councils to assist in the development of outcomes. The Bureau consultants will be utilizing this survey as a checklist as your grant application is being reviewed. Please note that multiple counties that utilize a single First Steps Local Planning and Coordinating Council should submit one complete RFF that addresses outcomes, strategies and activities for all counties involved with the council. Counties that participate in joint System Points of Entry should also submit one application.

If you have any questions, contact your county Consultant at 1-800-441-7837 or 1-317-232-1144.

Enclosure

**First Steps Early Intervention System**  
**Request For Funds**  
**For**  
**System Coordination**  
**&**  
**System Point of Entry**  
**2001/2003**

**September 2000**

# Family and Social Services Administration

## Bureau of Child Development

THE FOLLOWING INFORMATION IS NEEDED TO PROCESS THE EXECUTIVE DOCUMENT SUMMARY (EDS), WHICH IS A REQUIRED DEPARTMENT OF ADMINISTRATION DOCUMENT. IT MUST ACCOMPANY ALL CONTRACTS SUBMITTED FOR SIGNATURE. THEREFORE, WE REQUEST THAT YOU ANSWER THE FOLLOWING QUESTIONS:

- 1) FOR FEDERAL CONTRACTS: IS THIS A WOMAN-OWNED VENDOR?

YES \_\_\_\_\_ NO \_\_\_\_\_

- 2) MINORITY PARTICIPATION?

YES \_\_\_\_\_ NO \_\_\_\_\_

IF YES, LIST PERCENTAGE \_\_\_\_\_%

IF NO, AND CONTRACT IS EQUAL TO OR GREATER THAN \$25,000, GIVE JUSTIFICATION.

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- 3) PLEASE LIST ALL MEMBERS OF YOUR ORGANIZATION THAT ARE AUTHORIZED TO SIGN LEGAL DOCUMENTS AND CONTRACTS.

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

- 4) NUMBER OF CLAIMS REQUESTED FOR THIS CONTRACT.

MONTHLY (12) \_\_\_\_\_ BI-MONTHLY (24) \_\_\_\_\_

## REQUEST FOR FUNDS COVER SHEET

If utilizing more than one fiscal agent, you will need to copy and submit additional fiscal agent packets.

FUNDING SOURCE: Check one:

☐ Systems Coordination

☐ System Point of Entry

COUNTY(S): \_\_\_\_\_ (For which funding is being requested)

### FISCAL AGENT INFORMATION:

LEGAL NAME: \_\_\_\_\_  
(Must agree with corporate papers filed with Secretary of State.) \*

CONTRACT MAILING ADDRESS: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP CODE: \_\_\_\_\_

AGENCY DIRECTOR: \_\_\_\_\_ PHONE # \_\_\_\_\_

PROGRAM CONTACT PERSON: \_\_\_\_\_ PHONE # \_\_\_\_\_

E-MAIL ADDRESS: \_\_\_\_\_

AGENCY FAX NUMBER: \_\_\_\_\_

FEDERAL EMPLOYER ID # (EIN): \_\_\_\_\_

CURRENT CONTRACT #: \_\_\_\_\_ (if applicable)

LEGAL STATUS:    1) Corporation: For Profit \_\_\_\_\_ Not-for-Profit \_\_\_\_\_  
                         2) Sole Proprietorship \_\_\_\_\_ 3) Government Entity \_\_\_\_\_  
                         4) Partnership \_\_\_\_\_ (List all partners names.)  
                         5) School Corporation \_\_\_\_\_ Corporation # \_\_\_\_\_

TOTAL DOLLARS ALLOCATED: \$ \_\_\_\_\_

**\*NOTE: For 'Non-Profit' entities, attach a copy of the last Not for Profit Annual Report, State Form 2423 filed with Secretary of State. For 'For Profit' entities, attach a copy of the last For Profit Bi-Annual Report, State Form 47333 filed with Secretary of State.**

## **Contract Modifications for 2001 - 2003**

- There will be no advances provided with the system coordination and System Point of Entry contracts. FSSA has implemented a new claims system with an expedited payment system. All contracts will be fully executed prior to April 1 with a signed copy returned to the fiscal agent. The contracts will be activated effective April 1 and claim forms distributed to the fiscal agents.
- As a result of the new claims system, fiscal agents will have the option of submitting claims on a bi-weekly or monthly basis. Once the claims are keyed, the file is submitted to the auditor's office for payment on a daily basis.
- A new feature of the claims system is the ability for fiscal agents to receive payment by direct deposit. Direct deposit forms are included in this packet. If your fiscal agent wishes to participate in the direct deposit program, the form must be returned with the RFF.
- All claims submitted on the claim form must be within the same calendar month.
- Contracts cannot be processed without the following information:
- For non-profit entities, a copy of the Not for Profit Annual Report, State Form 2423
- For profit entities, a copy of the For Profit Bi-Annual Report, State Form 47333  
The purpose of this information is to ensure that all agents are operating legally in the state of Indiana by having filed the current required forms. Contracts can no longer be prepared for entities who submit a Request For Funds under a name that does not match the legal name that is on file with the Secretary of State.
- System Point of Entry Allocations will be released November 1, 2000.

## **Allocation Methodology**

A task force was convened this year to review the system coordination allocation methodology and to recommend any necessary changes. We have attempted to incorporate some of the suggestions in this year's methodology. While all issues were unable to be addressed, every effort was made to accommodate the key recommendations.

A review of expenditures from last year's system coordination RFF resulted in the development of a grid categorized by major items. Funds allocated to these components (both grant and in-kind) were used to develop a baseline. Counties were grouped in like sizes. (See attached chart). Expenditures were totaled in each category and divided by the number of counties in the grouping to establish an average cost per component.

The average cost per component was used to establish a base allocation. To provide a stable base for counties and to maintain our fiscal responsibility, no county received an increase or decrease in funding of more than \$1000.

Quality and Training funds were removed from the county allocation. Family training funds in the amount of \$150,000 were transferred to INSOURCE for administration through the UTS contract under established guidelines.

Provider training funds, in the amount of \$200,000, have been set aside for special projects or trainings that the county would like to develop. These grants will be competitive with maximum funding per county at \$10,000. No county will be awarded more than one special project.

System coordination contracts will continue to be performance based. The allocation will again have a 20% holdback. Outcomes identified by the LPCC will be reviewed at the end of six months. Access to the additional 20% will be based on successful completion of the identified outcomes.

While we were able to support a modest increase in allocations last year, there was insufficient funding to support an additional increase this contract cycle.

We will continue to work with DMG, who conducts the RMS process for the LPCCs and SPOEs, to explore other allocation options available for future contracts.

If you have any questions, please contact your county consultant.

<b>County</b>	<b>2000 Allocation</b>	<b>Draft Allocation</b>	<b>2001-2003 Allocation per year</b>	<b>Performance Holdback Amount</b>	<b>Contracted Initial Total (80%) per year</b>
Adams	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Allen	\$54,631.00	\$42,797.00	\$53,631.00	\$10,726.20	\$42,904.80
Bartholomew	\$26,866.00	\$25,620.00	\$25,866.00	\$5,173.20	\$20,692.80
Benton	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Blackford	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Boone	\$15,320.00	\$13,795.00	\$14,320.00	\$2,864.00	\$11,456.00
Brown	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Carroll	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Cass	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Clark	\$29,452.00	\$25,620.00	\$28,452.00	\$5,690.40	\$22,761.60
Clay	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Clinton	\$13,641.00	\$13,795.00	\$13,795.00	\$2,759.00	\$11,036.00
Crawford	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Daviess	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Dearborn	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Decatur	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
DeKalb	\$18,675.00	\$13,795.00	\$17,675.00	\$3,535.00	\$14,140.00
Delaware	\$29,997.00	\$25,620.00	\$28,997.00	\$5,799.40	\$23,197.60
Dubois	\$14,900.00	\$13,795.00	\$13,900.00	\$2,780.00	\$11,120.00
Elkhart	\$29,997.00	\$42,797.00	\$30,997.00	\$6,199.40	\$24,797.60
Fayette	\$18,141.00	\$13,795.00	\$17,141.00	\$3,428.20	\$13,712.80
Floyd	\$29,908.00	\$25,620.00	\$28,908.00	\$5,781.60	\$23,126.40
Fountain	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Franklin	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Fulton	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Gibson	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Grant	\$23,505.00	\$25,620.00	\$24,505.00	\$4,901.00	\$19,604.00
Greene	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Hamilton	\$34,760.00	\$42,797.00	\$35,760.00	\$7,152.00	\$28,608.00
Hancock	\$17,475.00	\$13,795.00	\$16,475.00	\$3,295.00	\$13,180.00
Harrison	\$13,090.00	\$13,795.00	\$13,795.00	\$2,759.00	\$11,036.00
Hendricks	\$26,322.00	\$25,620.00	\$25,620.00	\$5,124.00	\$20,496.00
Henry	\$14,480.00	\$13,795.00	\$13,795.00	\$2,759.00	\$11,036.00
Howard	\$24,144.00	\$25,620.00	\$25,144.00	\$5,028.80	\$20,115.20
Huntington	\$16,363.00	\$13,795.00	\$15,363.00	\$3,072.60	\$12,290.40
Jackson	\$17,209.00	\$13,795.00	\$16,209.00	\$3,241.80	\$12,967.20
Jasper	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Jay	\$26,180.00	\$12,491.00	\$25,180.00	\$5,036.00	\$20,144.00
Jefferson	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Jennings	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Johnson	\$24,144.00	\$25,620.00	\$25,144.00	\$5,028.80	\$20,115.20
Knox	\$13,090.00	\$13,795.00	\$13,795.00	\$2,759.00	\$11,036.00
Kosciusko	\$24,544.00	\$25,620.00	\$25,544.00	\$5,108.80	\$20,435.20
LaGrange	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80



Lake	\$52,590.00	\$42,797.00	\$51,590.00	\$10,318.00	\$41,272.00
LaPorte	\$27,212.00	\$25,620.00	\$26,212.00	\$5,242.40	\$20,969.60
Lawrence	\$16,896.00	\$13,795.00	\$15,896.00	\$3,179.20	\$12,716.80
Madison	\$33,399.00	\$25,620.00	\$32,399.00	\$6,479.80	\$25,919.20
Marion	\$89,201.00	\$42,797.00	\$88,201.00	\$17,640.20	\$70,560.80
Marshall	\$13,090.00	\$13,795.00	\$13,795.00	\$2,759.00	\$11,036.00
Martin	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Miami	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Monroe	\$29,861.00	\$25,620.00	\$28,861.00	\$5,772.20	\$23,088.80
Montgomery	\$15,111.00	\$13,795.00	\$14,111.00	\$2,822.20	\$11,288.80
Morgan	\$20,987.00	\$13,795.00	\$19,987.00	\$3,997.40	\$15,989.60
Newton	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Noble	\$17,963.00	\$13,795.00	\$16,963.00	\$3,392.60	\$13,570.40
Ohio	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Orange	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Owen	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Parke	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Perry	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Pike	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Porter	\$30,133.00	\$25,620.00	\$29,133.00	\$5,826.60	\$23,306.40
Posey	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Pulaski	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Putnam	\$14,406.00	\$13,795.00	\$13,795.00	\$2,759.00	\$11,036.00
Randolph	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Ripley	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Rush	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Scott	\$14,762.00	\$13,795.00	\$13,795.00	\$2,759.00	\$11,036.00
Shelby	\$17,475.00	\$13,795.00	\$16,475.00	\$3,295.00	\$13,180.00
Spencer	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
St. Joseph	\$53,951.00	\$42,797.00	\$52,951.00	\$10,590.20	\$42,360.80
Starke	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Steuben	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Sullivan	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Switzerland	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Tippecanoe	\$27,819.00	\$25,620.00	\$26,819.00	\$5,363.80	\$21,455.20
Tipton	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Union	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Vanderburgh	\$34,624.00	\$42,797.00	\$33,624.00	\$6,724.80	\$26,899.20
Vermillion	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Vigo	\$30,591.00	\$25,620.00	\$29,591.00	\$5,918.20	\$23,672.80
Wabash	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Warren	\$13,090.00	\$11,340.00	\$12,090.00	\$2,418.00	\$9,672.00
Warrick	\$17,475.00	\$13,795.00	\$16,475.00	\$3,295.00	\$13,180.00
Washington	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
Wayne	\$25,369.00	\$25,620.00	\$25,620.00	\$5,124.00	\$20,496.00
Wells	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
White	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80

Whitley	\$13,090.00	\$12,491.00	\$12,491.00	\$2,498.20	\$9,992.80
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## **Local Planning and Coordinating Council**

### **Mini-Grants**

For the 2001-2003 RFF cycle the Bureau of Child Development has set aside \$200,000 to fund proposals from the LPCCs that fall outside of the scope of the RFF. The maximum amount awarded will be \$10,000 per proposal. A review panel comprised of persons that **do not** work for the Bureau of Child Development will review the individual county proposals. Grants will be awarded based on their content, effectiveness of the topic, target audience, and the benefit of the activity to the First Steps system. Due to the limited amount of funding for these proposals, not all applicants will receive funding. Proposals should be submitted with the 2001-2003 RFF. Proposals should include the following:

- **Budget (please use budget form attached)**
- **Budget Summary Narrative**
- **A detailed written proposal outlining the project proposed, including the target audience, estimated date of the activity, and a point by point description of the activity.**

All proposals must be submitted with the county RFF no later than 12/1/00. Proposals received after 12/1/00 **will not** be considered. Mini-Grant award winners will be notified no later than 2/1/00.

# **INTERNET ACCESS FOR LOCAL PLANNING AND COORDINATING COUNCILS**

## **1. ALLOCATION OF FULL INTERNET ACCESS:**

Each LPCC is to obtain and maintain Full Internet Access. Each LPCC is required to have its own e-mail address.

## **2. DEFINITION OF FULL INTERNET ACCESS:**

Full Internet access shall mean the ability to send and receive electronic mail with attachments, without limitations to size or format of the attachments, and access to the World Wide Web.

## **3. FREE E-MAIL ACCOUNTS:**

We will not accept free e-mail accounts that limit or prohibit the LPCC's ability to:

- a) Access the World Wide Web
- b) Accept attachments regardless of size or format

Free e-mail services that allow the above activities will be accepted. Please provide appropriate documentation.

## **4. REPORTING OF INOPERATIVE SERVICE:**

As soon as an LPCC becomes aware that its e-mail service is not functioning properly, the LPCC should immediately inform their county consultant.

## **5. CHANGE OF LPCC INFORMATION:**

All changes in LPCC information – such as personnel, phone numbers, fax numbers, addresses, etc. – should be e-mailed to the county consultant and to [jclark3@fssa.state.in.us](mailto:jclark3@fssa.state.in.us).

## **6. USE OF LPCC E-MAIL/INTERNET ACCOUNT:**

Only the LPCC staff should have access to the e-mail/internet account. The LPCC e-mail/internet account, as with other equipment, is to be used for LPCC business only. Access to the LPCC software, e-mail, and information should be granted only to LPCC personnel.

## **7. FREQUENCY REQUIREMENTS FOR CHECKING E-MAIL:**

For LPCCs that are staffed full time, e-mail should be checked at a minimum daily. For LPCCs with part time staff, e-mail should be checked every other day.

## **8. FIRST STEPS WORLD WIDE WEB ADDRESS:**

The First Steps web site address is: [www.state.in.us/fssa/first\\_step](http://www.state.in.us/fssa/first_step). Please check the web site frequently for valuable First Steps information. The First Steps web site should be checked at a minimum once per week. \*Please complete this form and return with your RFF. This is a required component of the RFF.

**COUNTY:** \_\_\_\_\_

LPCC Coordinator: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Phone: \_( ) \_\_\_\_\_ Fax: ( ) \_\_\_\_\_

Email: \_\_\_\_\_

LPCC Chair: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Phone: \_( ) \_\_\_\_\_ Fax: \_\_\_\_\_

Email: \_\_\_\_\_

SPOE Supervisor: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Phone: \_( ) \_\_\_\_\_ Fax: \_\_\_\_\_

Email: \_\_\_\_\_

Is the First Steps Council a combined council with Step Ahead? ☐ Yes ☐ No

If yes, the name of the Step Ahead Coordinator: \_\_\_\_\_

First Steps meeting dates and times: \_\_\_\_\_

Location and Address of meetings: \_\_\_\_\_

\_\_\_\_\_

Other meetings: \_\_\_\_\_

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Issues/Concerns: \_\_\_\_\_

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Other Information that would be helpful: \_\_\_\_\_

## **REQUEST FOR FUNDS**

The Bureau of Child Development is accepting requests for funding for the Local Planning and Coordinating Council and the System Point of Entry. Enclosed you will find the Request for Funds for:

### **I. Systems Coordination**

This section includes:

Public Awareness and Child Find  
Provider Recruitment and Provider Matrix  
Procedural Safeguards/ Information and Services/Quality Assurance  
Transition and Interagency Agreements  
Functions of the LPCC (Council Membership, Conflict of Interest,  
Evaluating Achievement of Outcomes and Effectiveness of the LPCC)  
(At least one outcome for each component must be submitted)

### **II. System Point of Entry**

This section includes:

System Point of Entry Identification Page  
Survey Sheets  
Organizational Chart  
Memorandum of Understanding  
SPOE Outcome Pages

The following documentation must be included to comprise a complete RFF:

- ☐ Fiscal Agent Cover Sheet (s) (Administrative allowance is 8% for Systems, 8% for SPOE)
- ☐ Executive Document Summary(s)
- ☐ Certification Statement and Assurances Signature Page(s)
- ☐ Budget for Systems Coordination, and SPOE
- ☐ Budget Narratives for Systems Coordination, Quality and Training, and SPOE
- ☐ Council Approval Signature Sheets
- ☐ Equipment Inventory List for LPCC and SPOE
- ☐ County Update Form

When submitting the RFF, please include the **original and one copy** to:

Bureau of Child Development  
402 W. Washington Street MS-02  
Rm. W-386  
Indianapolis, IN 46204-2739  
Attn: First Steps RFF

Please note that the deadline for submission of the RFF is December 1, 2000.

*Any RFF submitted after the December 1, 2000 deadline will be subject to a delay in funding. All RFFs submitted after December 15, 2000 will be prorated. (ex. An RFF received on Dec. 15, 2000 will have a contract start date of May 1, 2001 with 11 months worth of funding.) All clarifications to the RFF must be submitted and approved prior to initiation of the contract.*

<p style="text-align: center;"><b>REQUEST FOR FUNDING (RFF)</b> <b>First Steps Early Intervention Systems Coordination Funds</b> <b>2001/2003</b></p>
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**BACKGROUND AND PURPOSE:**

Through the Individuals with Disabilities Education Act (IDEA) Part C along with Title XIX funding (Medicaid), the Bureau of Child Development is making funds available to assist each county Local Planning and Coordinating Council (LPCC) in their coordination of a family-centered, neighborhood-based, interagency system of services for infants and toddlers with special needs and their families and the ongoing work of the county System Point of Entry (SPOE). Grants will be offered to each LPCC who can demonstrate progress in coordinating the activities required under federal and state regulations for Part C.

**SELECTION OF FISCAL AGENT:**

The LPCC will identify a fiscal agent to receive and disburse these funds. The LPCC is recognized as the authentic voice for the First Steps Early Intervention System for the county. Decisions made and properly documented by the LPCC will be upheld by the State if the decisions are made in accordance with local application criteria and state and federal statute, regulations and policies. The fiscal agent may not alter or deviate from the approved grant application without the consent of the Bureau of Child Development and the LPCC. The Bureau of Child Development will only honor fiscal agent change requests with documentation of substantial contractual or programmatic breaches. [Fiscal, program and service delivery accountability shall be the responsibility of the designated fiscal agent which contracts to receive grant funds.]

**Criteria for the fiscal agent is as follows:**

- **Must be incorporated and in good standing with the State of Indiana**
- **Have an annual audit prepared by an independent certified public**
- **Must have an annual audit prepared by an independent certified public accountant**
- **Must be bonded**
- **Experienced with public resources and monitoring sub-recipients**
- **Experience working with multiple funding sources**

**NOTE:** Councils may be their own fiscal agent without being incorporated  
Signed MOUs must be included in this RFF.

**ATTENTION: Please submit the FULL PACKET by the deadline indicated in the MAILING Instructions. No contracts will be generated until the RFF and any clarifications are fully approved.. This application is not competitive. Only one application per county will be accepted.**

**NOTE:** If RFFs are submitted after the due date, the systems coordination allocation will be prorated accordingly. Due to the separate functions of the SPOE and LPCC, the two sections of this grant will result in the generation of individual contracts. Each contract will be approved individually and released accordingly.

<b>CERTIFICATION STATEMENTS AND ASSURANCES</b>
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**Must be submitted with fiscal identification packet**

As a condition of participation for funding through the First Steps Early Intervention System the fiscal agent must make the following assurances. These assurances shall remain in effect throughout the funding period.

1. We assure that the information included in this application is true and correct.
2. We assure that an e-mail account has been established for the LPCC/SPOE.
3. We assure that the program components will be implemented according to the county systems coordination plan as submitted to the State by the Local Planning and Coordinating Council.
4. We assure that records will be maintained as directed by the Family and Social Services Administration. Access will be afforded to the State, as it may find necessary to assure the correctness and to verify reports and proper distribution of funds associated with this application. We understand that records are to be kept in accordance with generally accepted accounting principles.
5. We assure that funds provided under this application will be used to supplement and increase the level of State and local funds expended for eligible infants and toddlers and their families, and in no case to supplant those State and local funds.
6. We assure that funds provided will not be used to satisfy a financial commitment for services that would have been paid for from another public or private source, but for the receipt of state and federal early intervention funds.
7. We assure that this agency operates in accordance with the nondiscriminatory requirements pursuant to Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973, as amended; the Age Discrimination Act of 1975; and where applicable, the Omnibus Budget Reconciliation Act of 1983.
8. We certify that neither this agency nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
9. We certify that this agency will maintain a drug-free workplace as described in the Drug-Free Workplace Act of 1988 and the Federal regulations promulgated thereunder.

10. We certify that pursuant to 31 U.S.C., Section 1352, no federally appropriate funds have been paid, or will be paid, by or on behalf of Contractee, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modifications of any federal contract, grant, loan, or cooperative agreement.

\_\_\_\_\_  
Authorized Official of Fiscal Agent

\_\_\_\_\_  
Date Signed

### BUDGET SUMMARY INSTRUCTIONS

*A budget summary must be completed for all three components: Systems Coordination, System Point of Entry.*

**BUDGET ITEM SUMMARY:** Budget items are to be included for each major funding category (Other Federal, Other State, Other Local or In-kind) to indicate the budget required to administer this grant activity. The use of other funding for the coordination of the activities under this grant activity is encouraged.

**PERSONNEL SUMMARY:** List each position title that will be working directly with this grant and the funding attached to the position **regardless of whether it is a salaried or contract position.**

**BUDGET NARRATIVE:** Attach a budget narrative which identifies the sources and dollar amounts of Other Federal, Other State, Other Local, and In-Kind contributions used to support this grant activity, the basis for and what's included in your fringe benefits. List any service you plan to contract for. List any equipment you plan to purchase with First Steps funds. List the basis for your travel budget (mileage/per diem rates). Include a copy of your approved **indirect cost plan**, and include the basis for the other costs under 9. **Explain how the budget is within scope of the project.**

**LINE ITEM DEFINITIONS:**

1. PERSONNEL SALARIES AND FRINGE: The amount needed to pay for the salaries and fringe benefits of those people performing grant activities.
2. RENT AND UTILITIES: The amount needed to pay for the space cost for this grant activity.
3. TELEPHONE AND POSTAGE: The amount needed to pay for the telephone and postage costs for this grant activity.
4. CONTRACTED SERVICES: The amount needed to pay for contracted services for this grant activity. A written agreement must be on file with the Bureau of Child Development which specifies the service(s) to be purchased, the content, and rate of costs.
5. MATERIALS AND SUPPLIES: The amount needed to pay for the materials and supplies cost for this grant activity.
6. EQUIPMENT: The amount needed to pay for the equipment to be used for this grant activity. Equipment is an article of non-expendable tangible personal property with a unit cost of \$500 or more and a useful life of two years or more. Title to the equipment is vested to the State. Prior approval is considered received on items purchased at a cost of \$1,000 to \$2,499 if it was noted in the original budget. Items purchased at a cost of \$2,500 or more require separate prior approval and must be made in accordance with standard procurement



procedures.

7. TRAVEL: The amount needed to pay for the grant related travel costs of personnel carrying out activities under this grant.
8. INDIRECT COSTS: The amount needed to pay for costs associated with this grant's activities not practically charged on a direct basis and therefore budgeted in accordance with **an approved cost rate or a cost allocation plan**. A copy of the cost plan must be submitted with the original budget for this grant. (Administrative cost is limited to **8 % cap on both the Systems Coordination grant and the SPOE grant**).
9. OTHER COSTS: The amount needed to pay for costs which cannot be included in the line items previously listed and defined above but which are associated with this grant's activity.

***The budget is the basis on which funds will be spent. If any line item is modified by 10% or more over the course of the contract, prior approval must be obtained.***

## BUDGET SUMMARY – SYSTEMS COORDINATION

County: \_\_\_\_\_

Reporting Period: FY 2001/2003

	Part C- 7002	Other	In-kind	Total
1. Personnel				
2. Rent and Utilities				
3. Telephone and Postage				
4. Contracted Services				
5. Materials and Supplies				
6. Equipment				
7. Travel				
8. Indirect Costs				
9. Other Costs				
Total Budgeted				

## PERSONNEL SUMMARY

Position/Title	Part C- 7002	Other	In-kind	Total
Total Budgeted				

Note: A budget sheet will need to be completed for each year of the contract.

## BUDGET SUMMARY - SYSTEM POINT OF ENTRY

County: \_\_\_\_\_

Reporting Period: FY 2002/2003

	Part C- 7022	Other	In-kind	Total
1. Personnel				
2. Rent and Utilities				
3. Telephone and Postage				
4. Contracted Services				
5. Materials and Supplies				
6. Equipment				
7. Travel				
8. Indirect Costs				
9. Other Costs				
Total Budgeted				

## PERSONNEL SUMMARY

Position/Title	Part C- 7022	Other	In-kind	Total
Total Budgeted				

Note: A budget sheet will need to be completed for each year of the contract.

## BUDGET SUMMARY - SPECIAL PROJECT

County: \_\_\_\_\_

Reporting Period: FY 2001-2002

	Part C- 7022	Other	In-kind	Total
1. Personnel				
2. Rent and Utilities				
3. Telephone and Postage				
4. Contracted Services				
5. Materials and Supplies				
6. Equipment				
7. Travel				
8. Indirect Costs				
9. Other Costs				
Total Budgeted				

## PERSONNEL SUMMARY

Position/Title	Part C- 7022	Other	In-kind	Total
Total Budgeted				

## COUNCIL APPROVAL SIGNATURE SHEET

SIGNATURE OF MEMBERS PRESENT WHEN COUNCIL APPROVED PLAN:  
(Please add additional sheet, if necessary)

Name

## Role on LPCC

[illegible]

**Date of council approval:**\_\_\_\_\_

**This application requires that it be shared with the Step Ahead Council. If you have a joint council, the Step Ahead Council must approve the RFF and submit a separate signature page.**

**Please indicate date shared/approved:** \_\_\_\_\_

***This Checklist is for the LPCC to utilize to ensure that the packet is complete when submitted to the Bureau.***

#### **REQUEST FOR FUNDS COVER SHEET/FISCAL AGENT INFORMATION**

- ☐ Is there a completed fiscal agent page identified for each component?

\_\_\_\_\_ Systems Coordination  
\_\_\_\_\_ System Point of Entry

#### **BUDGET AND BUDGET NARRATIVE**

- ☐ Are all budgets and budget narratives included?

\_\_\_\_\_ Systems Coordination  
\_\_\_\_\_ System Point of Entry

- ☐ Is the total \$\$ amount equal to the allocation?

\_\_\_\_\_ Systems Coordination  
\_\_\_\_\_ System Point of Entry

- ☐ Are the administrative costs at or under the maximum allowable?

\_\_\_\_\_ 8% SPOE  
\_\_\_\_\_ 8% Systems Coordination  
\_\_\_\_\_ Indirect Cost Plan included

- ☐ Are job descriptions and/or contracts attached for all personnel supported with these funds?

\_\_\_\_\_ LPCC (Coordinator or Contracted Persons...)  
\_\_\_\_\_ SPOE (SPOE Supervisor, Intake Personnel, Data Entry  
Persons...)

#### **MOUs**

- ☐ Are all signed MOUs present?

#### **CERTIFICATION STATEMENTS AND ASSURANCES**

- ☐ Is the form included and signed by the authorized official of the fiscal agent?  
(There must be a separate form for each fiscal agent.)

#### **EXECUTIVE DOCUMENT SUMMARY**

- ☐ Is the form included and signed by the authorized official of the fiscal agent?

#### **COUNCIL APPROVAL SHEET**

- ☐ Is the form completed?  
☐ Do the signatures represent council membership?

- ☐ Copy of Council minutes that reflect discussion and approval of the RFF.
- ☐ Copy of Council Coordinator Performance Appraisal tool and results.

## **Section I**

### **System Coordination**

# **Local Planning and Coordinating Council Assessment Surveys / Outcomes**

## **Instructions**

As part of the Request for Funds Proposal, we are asking that each LPCC complete the enclosed survey questions. The survey is designed to help the LPCC determine areas of strength and need as you plan for the next year. The survey questions are found prior to the required outcome sections. The council should address these issues by completing the survey questions after a discussion of the status of the minimum requirements for each component. These questions should be answered through discussion with LPCC members and completed as appropriate. It may also be helpful for the LPCC to receive feedback from providers, families, and other involved parties. The minimum requirements for LPCC activities are listed on the outcome pages. Each requirement must have strategies and activities assigned to it by the council that will address how the requirement will be met, what quarter the activity will take place in, and who is responsible for the activity.

(NOTE: The Bureau Consultant will be reviewing the LPCC's utilization of the survey questions in addressing the developed outcomes. LPCC required activities are considered essential components of the First Steps Early Intervention system and must be addressed in the activities and strategies of the LPCC plan.)



## **I. PUBLIC AWARENESS & CHILD FIND**

*The LPCC shall advise and assist the division in the division's development and implementation of a public awareness program as described in 470 IAC 3.1-2-6, that focuses on the early identification of children who are eligible to receive early intervention services, including the preparation and dissemination to all primary referral sources of information materials for parents on the availability of early intervention services. (Division of Family and Children; 470 IAC 3.1-6-1)*

***The LPCC shall assist the ICC in advising the division in the establishment and implementation of policies and procedures to ensure the following: (1) All infants and toddlers in the state who are eligible for early intervention services are identified, located and evaluated. (2) An effective method is developed and implemented to determine which children are receiving needed early intervention services, and which children are not receiving needed early intervention services. (b) The LPCC of each county shall be responsible to organize on-going child find activities in order to identify potential children in the community in need of early intervention services. This child find procedure shall include the opportunity for developmental screening, which is an ongoing effort to separate from the general public, those children who, through informal observation, demonstrate indication of need for further evaluation or assessment. (c ) The child find system shall be coordinated with all other major efforts conducted by other state agencies, tribes, and tribal organizations responsible for the administration of various education, health and social service programs to locate and identify children, including, but not limited to, the following programs: 91) Education of Children with Disabilities program under Part B of the act. (2) Maternal and Child Health program under Title V of the Social Security Act. (3) Early Periodic Screening, Diagnosis, and Treatment (EPSTD) program under Title XIX of the Social Security Act. (4) Developmental Disabilities Assistance and Bill of Rights Act programs. (5) Head Start Act programs. (6) Supplemental Security Income program under Title XVI of the Social Security Act. (7) Children's Nutrition Assistance Act (WIC) program under 42 U.S.C. 1786. (d) The child find system shall be coordinated, to the extent possible, with the following: (1) Parents. (2) Medical programs, such as well-baby clinics. (3) Indiana healthy families projects. (4) Hospitals. (5) Community child care organizations. (6) Step Ahead councils. (Division of Family and Children; 470 IAC 3.1-6-2)***

**DOES THE LPCC HAVE AN EFFECTIVE PLAN TO ADDRESS PUBLIC AWARENESS THROUGHOUT THE COUNTY?**

1	2	3	4	5	6	7	8	9
10								
NOT EFFECTIVE								EXTREMELY EFFECTIVE

**DOES THE LPCC HAVE AN EFFECTIVE PLAN TO ADDRESS CHILD IDENTIFICATION THROUGHOUT THE YEAR, WHICH WILL RESULT IN 2.3-4% OF THE BIRTH TO AGE 3 POPULATION BEING IDENTIFIED THROUGH FIRST STEPS?**

☐ YES

☐ NO

# I. Public Awareness/Child Find

**Outcome Statement:** The overall number of children served will be a minimum of 3% of the children birth to age three with an average age of referral below 14 months.

<b><u>Minimum requirements:</u></b>	<b>Quarter(s)</b>				<b>Individual(s) Responsible</b>
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	
<ul style="list-style-type: none"> <li>• <b>The LPCC will have PR materials that describe the First Steps program distributed throughout the county.</b> List Strategies:</li> <li>• <b>The LPCC will have informational brochures describing the First Steps program and the services available distributed throughout the county.</b> List Strategies:</li> <li>• <b>Materials will be made available to local child care agencies.</b> List Strategies:</li> <li>• <b>Materials will be made available to physician's offices.</b> List Strategies:</li> <li>• <b>The LPCC will conduct informational activities at least quarterly.</b> List Strategies:</li> <li>• <b>Primary referral sources will refer within 2 working days.</b> List Strategies:</li> <li>• <b>The LPCC will reach underserved populations.</b> List Strategies:</li> <li>• <b>The LPCC will identify children in all areas of the county.</b> List Strategies:</li> </ul> <p><b><u>Supplementary strategies/activities to meet county specific needs:</u></b></p>					

Total \$ Budgeted: \_\_\_\_\_

## **II. PROVIDER RECRUITMENT & PROVIDER MATRIX**

*The LPCC shall advise and assist the Division in the responsibility to ensure that the providers of early intervention services are identified on the county service matrix. (470 IAC 3.1-3-1 Sect. 1 (c) (7) )*

**THERE IS AN EFFECTIVE PLAN TO IDENTIFY AND RECRUIT PROVIDERS TO ENSURE THAT FAMILIES HAVE A VARIETY OF OPTIONS WHEN SELECTING A PROVIDER AND LOCATION OF SERVICES.**

1	2	3	4	5	6	7	8	9
10								
Not Effective								Extremely
Effective								

**DO FAMILIES HAVE THE ABILITY TO MAKE INFORMED DECISIONS ABOUT PROVIDER SELECTION?**

1	2	3	4	5	6	7	8	9
10								
Never								
Always								

## Provider Availability

List the number of providers available in order for families to receive early intervention services. Identifying unmet needs will help the council develop strategies/activities for the RFF.

<b>Provider Type</b>	<b>Clinic/ Center Based</b>	<b>Community/ Family Based</b>	<b>Unmet Need</b>
Assistive Technology			
Audiological Services			
Developmental Therapy			
Health Services			
Nursing Services			
Nutrition Services			
Occupational Therapy			
Physical Therapy			
Psychological Services			
Service Coordination			
Social Work Services			
Speech/Language Therapy			
Transportation			
Vision Services			

## II. Provider Recruitment & Provider Matrix

**Outcome Statement:** Families are presented with adequate information to make an informed choice regarding the selection of providers and location of services.

Please provide **ONE** sample page of your current matrix used by SPOE and Service Coordinators.

<u>Minimum requirements:</u>	Quarter(s)				Individual(s) Responsible
	1	2	3	4	
<ul style="list-style-type: none"> <li>• <b>Ensure providers for all 16 services will be available. (Complete Attachment A)</b> List Strategies:</li> <li>• <b>Ensure there is adequate choice for families in choosing providers.</b> List Strategies:</li> <li>• <b>Implement a formal method of receiving information from the SPOE and service coordinators on specific needs. Describe:</b> List Strategies:</li> <li>• <b>Identify providers serving children within the child's home and community.</b> List Strategies:</li> <li>• <b>Maintain an up-to-date matrix of providers.</b> List Strategies:</li> <li>• <b>Distribute up-to-date matrix to SPOE and service coordinators have up-to-date matrix of providers.</b> List Strategies:</li> <li>• <b>Make substantial provider changes to the matrix immediately.</b> List Strategies:</li> <li>• <b>LPCC will evaluate the use and effectiveness of the matrix .</b> List Strategies:</li> </ul>					
<u>Supplementary strategies/activities to meet county specific needs:</u>					

Total \$ Budgeted: \_\_\_\_\_

### **III. PROCEDURAL SAFEGUARDS / INFORMATION & SERVICES / QUALITY ASSURANCE**

*Informed, written parental consent must be obtained before: (1) conducting the initial evaluation and assessment of a child; and (2) initiating the provision of early intervention services. (b) If consent is not given by the parent, the service coordinator shall make reasonable efforts to ensure that the parent: (1) is fully aware of the nature of the evaluation and assessment or other services that would be available; and (2) understands that the child will not be able to receive the evaluation and assessment or other services, unless consent is given. (c) The parent of a child eligible for early intervention services may determine whether the parent, the child, or other family members will accept or decline any early intervention service, and may decline such a service after first accepting it, without jeopardizing other early intervention services. (Division of Family and Children; 470 IAC 3.1-13-4)*

***The division shall be responsible to ensure that the rights of children eligible for early intervention services are protected if; (1) no parent can be identified; (2) the participating agency, after reasonable efforts, cannot discover the whereabouts of a parent; or (3) the child is a ward of the state. (b) The division, in cooperation with the LPCC, shall be responsible for the development of policies and procedures for determining whether a child needs a surrogate parent and for assigning a surrogate parent for the child. Such policies and procedures shall ensure that a person selected as a surrogate parent; (1) has no interest that conflicts with the interests of the child he or she represents; and (2) has knowledge and skills that ensure adequate representation of the child. (c) A person assigned as a surrogate parent may not be an employee of any agency involved in the provision of early intervention or other services to the child. A person who otherwise qualifies to be a surrogate parent shall not be considered an employee of an agency solely because he or she is paid by the agency to serve as a surrogate parent. (d) A surrogate parent may represent a child in all matters related to the following: (1) The evaluation and assessment of the child. (2) Development and implementation of the child's IFSPs, including annual evaluations and periodic reviews. (3) The ongoing provision of early intervention services to the child. (4) Any other rights established under Part H of the Act and the implementing regulations in 34 CF\$ 303. (Division of Family and Children; 470 IAC 3.1-13-5)***

*The child find system shall include procedures to be used by primary referral sources for referring a child to the appropriate participating agency within the early intervention system for: (1) evaluation and assessment; or (2) as appropriate, the provision of early intervention services, including development of the initial or interim IFSP as described in 470 IAC 3.1-9. (b) The LPCC shall establish a system of communication and coordination among participating agencies and other persons and entities within the community serving young children to form a referral network. This referral network shall: (1) identify and include local providers of services related to early intervention; (2) enhance providers; knowledge of eligibility criteria for early intervention services; and (3) coordinate referrals for early intervention services. (c) The referral procedures established under this section must do the following: (1) Provide for an effective method of making referrals by primary referral sources. (2) Ensure that referrals are made no more than two (2) working days after a child has been identified. (3) Include procedures for determining the extent to which primary referral sources, especially hospitals and physicians, disseminate the public awareness information described in 470 IAC 3.1-2-6 on the availability of early intervention services to parents of infants and toddlers with disabilities. (Division of Family and Children; 470 IAC 3.1-6-3)*

***The LPCC shall advise and assist the division in the responsibility to ensure that parents, representatives of entities that refer, evaluate, or provide services to young children and their families in the community, and other interested persons are involved in the planning, development, operation, and evaluation of the early intervention service system in the county represented by the LPCC.***

**THE LPCC HAS AN EFFECTIVE METHOD OF RECEIVING ON-GOING INPUT FROM FAMILIES & PROVIDERS CONCERNING SYSTEM COMPONENTS.**

1	2	3	4	5	6	7	8	9
10								
Not Effective								Extremely
Effective								

**FAMILIES ARE AWARE OF THEIR RIGHTS AND PROCEDURAL SAFEGUARDS.**

1	2	3	4	5	6	7	8	9
10								
Never								
Always								

**PROVIDERS ARE AWARE OF AND HONOR FAMILIES' RIGHTS AND PROCEDURAL SAFEGUARDS.**

1	2	3	4	5	6	7	8	9
10								
Never								
Always								

**PROVIDERS AND PRIMARY REFERRAL SOURCES ARE AWARE OF THE FIRST STEPS SYSTEM, SERVICES THAT ARE AVAILABLE, THE REFERRAL PROCESS AND ELIGIBILITY REQUIREMENTS.**

1	2	3	4	5	6	7	8	9
10								
Never								
Always								



### **III. Procedural Safeguards / Information & Services / Quality Assurance**

**Outcome Statement:** The Early Intervention system will be responsive to the priorities of families and providers.

Please provide a current roster of surrogate parents. Also include a list of trainings to referral sources on procedural safeguards, and eligibility. List SPOE reports utilized on referral process. Please provide a copy of surveys, results, and any action plans developed from survey results.

<b><u>Minimum Requirements:</u></b>	<b>Quarter(s)</b>				<b>Individual(s) Responsible</b>
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

<ul style="list-style-type: none"> <li>• <b>Ensure families are given a copy of their rights at numerous points during their involvement in First Steps?</b> List Strategies:</li> <li>• <b>Ensure providers have copies of families' rights?</b> List Strategies:</li> <li>• <b>Ensure providers notify service coordinators in adequate time to allow for the 10 day written prior notice for a change of service?</b> List Strategies:</li> <li>• <b>Identify an adequate number of surrogate parents?</b> List Strategies:</li> <li>• <b>Insure that the SPOE and service coordinators have a current list of surrogate parents?</b> List Strategies:</li> <li>• <b>Ensure that the SPOE and service coordinators are aware of the obligation to assist families in filing formal complaints?</b> List Strategies:</li> <li>• <b>Educate providers of the First Steps eligibility requirements?</b> List Strategies:</li> <li>• <b>Ensure physicians are making referrals directly to the SPOE?</b> List Strategies:</li> <li>• <b>Develop and implement procedures, including surveys, by which families provide information to the council concerning: Public awareness &amp; child find, Intake &amp; SPOE activities, IFSP services, &amp; Transition</b> List Strategies:</li> <li>• <b>Develop and implement procedures for the LPCC to review family input and make decisions as to the effectiveness of the early intervention system and its functions.</b> List Strategies</li> </ul>					
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Continued on next page

### III. Procedural Safeguards / Information & Services / Quality Assurance( continued)

:	1 s t	2 n d	3 r d	4 t h	Individual(s) Responsible
<ul style="list-style-type: none"> <li>The LPCC will develop and implement procedures, including surveys, by which providers inform the council of issues concerning: Public awareness &amp; child find, Intake &amp; SPOE activities, IFSP services, &amp; Transition</li> </ul> List Strategies:	Q u a r t e r	Q u a r t e r	Q u a r t e r	Q u a r t e r	
<ul style="list-style-type: none"> <li>Develop and implement procedures for theLPCC to review provider input and make decisions as to the effectiveness of the early intervention system and its functions.</li> </ul> List Strategies:					
<ul style="list-style-type: none"> <li>LPCC members will have a copy of the outcomes to be achieved.</li> </ul> List Strategies:					
<ul style="list-style-type: none"> <li>The LPCC will preview activities prior to occurrence.</li> </ul> List Strategies:					
<ul style="list-style-type: none"> <li>The LPCC will review all activities for effectiveness.</li> </ul> List Strategies					
<ul style="list-style-type: none"> <li>The LPCC will make revisions to activities depending on the success of the activity.</li> </ul> List Strategies:					
<ul style="list-style-type: none"> <li>The LPCC will have a formal method for evaluating the Coordinator activities (Contracted or Employed)? Please include copy of evaluation tool and results. (This is a required activity)</li> </ul>					
<ul style="list-style-type: none"> <li>The LPCC will define the roles of the LPCC Chairperson.</li> </ul> List Strategies:					
<p>*Please enclose the organizational chart describing your council, formal subcommittees, and roles and responsibilities.</p>					
<p><u>Supplementary strategies/activities to meet county specific needs:</u></p>					

Total \$ Budgeted: \_\_\_\_\_

#### **IV. TRANSITION & INTERAGENCY AGREEMENTS**

*All LPCCs are responsible for initiating and maintaining agreements with agencies dealing with referrals, child find and transition options to ensure that families and children enter and exit the system in a coordinated, cooperative manner.*

*Participating agencies in the early intervention system, and the service coordinator assigned to assist an eligible child and the child's family, have the responsibility to facilitate a smooth transition of a child and family participating in the early intervention system to preschool services provided under Part B of the Act, or to any other environment or combination of environments determined to be appropriate for the child. (Division of Family and Children; 470 IAC 3.1-11-1)*

Please complete the following chart listing those entities that the LPCC currently has MOU's with. (i.e. Under School Corp. – ABC Community Schools Corp. – 7/1/98 – 6/10/99)

[illegible]

## IV. Transition & Interagency Agreements

**Outcome Statement:**

Please attach a sample copy of the MOU with the fiscal agent, school corp., and referral sources

<b><u>Minimum Requirements:</u></b>	<b>Quarter(s)</b>				<b>Individual(s) Responsible</b>
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	
<ul style="list-style-type: none"> <li>• The LPCC will ensure transition agreements / MOUs are in place with all special education school systems for the county. Strategies:</li> <li>• MOUs will be evaluated on an ongoing basis, and evaluated annually. Strategies:</li> <li>• The LPCC will maintain and develop MOUs with referring agencies Strategies:</li> <li>• The LPCC will maintain written agreements / contracts for all persons who receive or manage funds through the LPCC. Strategies:</li> </ul> <p><b><u>Supplementary strategies/activities to meet county specific needs:</u></b></p>					

**Total \$ Budgeted:** \_\_\_\_\_

## **IV. FUNCTIONS OF THE LPCC**

### **(COUNCIL MEMBERSHIP / CONFLICT OF INTEREST & EVALUATING THE EFFECTIVENESS AND ACHIEVEMENT OF OUTCOMES OF THE LPCC**

*The LPCC organized in each county shall serve as a coordinating body, advising and assisting the division in its implementation and monitoring of the early intervention system. The LPCC shall have a formally defined relationship with the local Step Ahead council.*

***The LPCC shall consist of members who reasonably represent the population of the county where it is located. LPCC members shall include, at a minimum, the following:***

- (1)** *Two (2) parents of children with disabilities.*
- (2)** *One (1) health or medical representative.*
- (3)** *One (1) educational representative.*
- (4)** *One (1) social services representative.*
- (5)** *One (1) early intervention service provider.*
- (6)** *One (1) Head Start representative.*
- (7)** *One (1) child care representative.*

*Please discuss with the council and SPOE entity any potential for or appearance of conflict of interest. In the outcome section below, please record how all persons will work to avoid issues around conflict of interest.*

In order for the LPCC to evaluate their progress over the next year it is essential that the LPCC have a plan that outlines how progress will be documented, reviewed, and evaluated. On-going utilization of the RFF is critical in this process.

<b>THE LPCC HAS ACTIVE INVOLVEMENT FROM MEMBERS WHO REPRESENT THE REQUIRED ENTITIES?</b>									
1	2	3	4	5	6	7	8	9	
<div style="display: flex; justify-content: space-between;"> <span>10</span> <span>Never</span> <span>Always</span> </div>									
<b>THE LPCC HAS AN EFFECTIVE POLICY ON CONFLICT OF INTEREST AND CONFLICT RESOLUTION?</b>									
1	2	3	4	5	6	7	8	9	
<div style="display: flex; justify-content: space-between;"> <span>10</span> <span>NOT EFFECTIVE</span> <span>EXTREMELY EFFECTIVE</span> </div>									
<b>THE LPCC HAS AN EFFECTIVE METHOD OF UTILIZING THE RFF TO MONITOR PROGRESS AND SUCCESS THROUGHOUT THE YEAR.</b>									
1	2	3	4	5	6	7	8	9	
<div style="display: flex; justify-content: space-between;"> <span>10</span> <span>Not Effective</span> <span>Extremely Effective</span> </div>									

## **V. Functions of the LPCC**

### **(Council Membership, Conflict of Interest, & Evaluating the Effectiveness and Achievement of Outcomes of the LPCC)**

**Outcome Statement:** The LPCC shall consist of active members who reasonably represent the population of the county where it is located. LPCC members shall include, at a minimum, the following:

Two (2) parents of children with disabilities; One (1) health or medical representative; One (1) educational representative; One (1) social services representative; One (1) early intervention service provider; One (1) Head Start representative; One (1) child care representative.

Submit by-laws (with clear policy regarding conflict of interest), and membership list (including affiliations)

Please address how the LPCC monitors the success of their activities, and the activities of their contractors. (ex. utilization of fiscal agent reports, SPOE reports, RFF, timelines for contractor evaluation.)

<b><u>Minimum Requirements:</u></b>	Quarter(s)				Individual(s) Responsible
	1	2	3	4	

<ul style="list-style-type: none"><li>• <b>The LPCC will ensure that the membership of the council contains at a minimum: (list names)</b> <b>Parents (minimum of 2)</b> List _____ _____  <b>Health representative</b> _____  <b>Education representative</b> _____  <b>Social Service representative</b> _____  <b>Early Intervention Provider</b> _____  <b>Head Start representative</b> _____  <b>Child Care representative</b> _____  List Strategies: <ul style="list-style-type: none"><li>• <b>Membership of the LPCC will adequately reflect the demographic make-up of the county.</b> List Strategies:</li><li>• <b>Membership of the LPCC will adequately reflect underserved populations and all areas of the county.</b> List Strategies:</li><li>• <b>Members of the LPCC will be active participants in decision making.</b> List Strategies:</li></ul></li></ul>				
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<ul style="list-style-type: none"> <li>• <b>The LPCC will ensure that there are procedures by which families are informed about the council and invited to participate.</b> List Strategies:</li> </ul>					
<ul style="list-style-type: none"> <li>• <b>The LPCC will inform families about supports available to enhance their participation.</b> List Strategies:</li> </ul>					
<ul style="list-style-type: none"> <li>• <b>The LPCC will have full internet access with a county specific e-mail address capable of receiving attachments. (see Internet access page)</b> List Strategies:</li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Ensure that By-laws include a clear directive policy on conflict of interest.</b> List Strategies:</li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Ensure all members will be aware of and abide by the conflict of interest policy.</b> List Strategies:</li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Ensure that all members will divulge possible conflicts of interest prior to issue resolution and abstain from voting.</b> List Strategies:</li> </ul>					
<ul style="list-style-type: none"> <li>• <b>Ensure that By-laws include policy and procedures for conflict resolution.</b> List Strategies:</li> </ul>					
<p><b><u>Supplementary strategies/activities to meet county specific needs:</u></b></p>					

**Total \$ Budgeted:** \_\_\_\_\_

## **Section II**

### **System Point of Entry**

## **System Point of Entry RFF**

### **PART I**

#### **ORGANIZATIONAL CHART**

Please provide an organizational chart, which includes the SPOE, LPCC, Oversight committee, LPCC Coordinator, Fiscal Agent, and any other involved party. Along with the organizational chart, there must be a narrative description of the organizational chart that details the following:

- Delineation of responsibility between LPCC, LPCC Coordinator, LPCC committees, SPOE and Fiscal Agent
- Who holds responsibility for oversight of the SPOE and what does this entail?
- Submit SPOE Oversight committee schedule with meeting minutes.
- How do the involved parties share information, reports, data...
- Who develops and monitors the SPOE budget and expenditures?
- Description of daily SPOE supervision to include person(s) responsible.
- Qualifications and job descriptions of responsible parties, to include qualifications of any person financially supported by the grant funding.

**NOTE: Please include names of specific persons included in the entities noted in the organization chart. (Ex. Name of oversight committee members, SPOE supervisor, Fiscal Agent contact name...)**

### **PART II**

#### **Memorandum of Understanding (MOU)**

A current MOU is an essential element of the SPOE RFF. The MOU must delineate the roles between the LPCC, SPOE and Fiscal Agent. Each LPCC and SPOE is required to review the current MOU and make any necessary changes based upon input from either party. The Bureau of Child Development also requests that the MOU clearly reflects the inclusion of the SPOE's facilitation of application to both the Hoosier Healthwise program and Children's Special Health Care Services (CSHCS) program for all potentially eligible children under the age of three and their family. Along with the MOU, please include a cover page noting any changes.

### **PART III**

#### **SPOE Outcomes**

The Bureau of Child Development is requesting that each SPOE have specifically developed outcomes to guide the progress of the System Point of Entry over the next contract year.

In order to assist counties in identifying areas where growth is needed, the Bureau has included two SPOE surveys. In addition, the Bureau has specifically outlined two outcomes that must be addressed by each System Point of Entry. The following pages describe the requested outcomes and necessary components. A blank outcome page is enclosed to address any issues identified through the completion of the LPCC and/or SPOE survey. Please copy this page if more than one outcome is needed.

Outcomes must include the specific area to be addressed along with measurable objectives. The LPCC and SPOE must then develop activities and strategies complete with timelines and persons responsible in order to meet the outcome.

## SECTION 1 SPOE IDENTIFICATION PAGE

County (ies): \_\_\_\_\_

SPOE Agency Name: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

**Contact Person:** (If Different)

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

**Staff affiliated with SPOE activities:**

Name	Position
	Supervisor
	Intake Coordinator

☐ Yes ☐ No

Does the SPOE maintain an independent identity that is exclusive of an affiliation with any entity?  
(I.e.: Stationery, Phones, Business Supplies, etc.)

**Provide a membership list for the Oversight Committee, meeting schedule and minutes from the past year.**



# **LPCC ASSESSMENT SURVEYS FOR THE SYSTEM POINT OF ENTRY**

## **INSTRUCTIONS**

To assist each Local Planning and Coordinating Council (LPCC) and System Point of Entry (SPOE) in identifying areas of strength and need, the Bureau of Child Development is requesting that each LPCC and SPOE complete the enclosed surveys. The survey results are designed to help the LPCC and the SPOE determine the areas of strength and need as you plan for the next year.

The first survey is an assessment of the LPCC's perception of the SPOE and its operations. To get an accurate account of your SPOE's development, the survey should be discussed with all council members. In addition, it may be helpful for First Steps providers and or families to provide input as well. LPCCs may feel welcome to incorporate additional questions, or to include results of any local surveys that have been previously completed. Once the results of the survey are tabulated, the LPCC and SPOE must develop an outcome to address any questions that are answered with a negative response and/or are not answered to the satisfaction of the LPCC. Strategies and activities with timelines in which they will be accomplished must accompany each outcome.

The second survey is a self-assessment that the SPOE is to complete regarding operations. As with the LPCC survey, any response that is answered with a negative response and/or not answered to the satisfaction of the LPCC must be accompanied with an outcome to address the area of need. Each outcome must be accompanied by strategies and activities with timelines that they will be accomplished.

The survey results must accompany the RFF along with the minutes of the meeting in which the survey was discussed.

# SPOE SELF SURVEY

Are families contacted within 2 working days from referral?	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS:
Are the providers represented in a uniform format in the matrix?	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS:
Does the LPCC update the matrix continually?	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS:
What % of referrals do not move to IFSP?  <small>(If the % identified is of concern to the LPCC or SPOE please address this outcome in the Systems Coordination grant.)</small>		COMMENTS:
Is data entry conducted within 2 days, and a dial in to the CRO conducted weekly?	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS:
Are the early intervention files at the SPOE to-date and complete?  <small>(If files are not complete, please specify why they are not, and to what degree. In addition, please develop an outcome with the LPCC on how this will be immediately corrected.)</small>	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS:
Do SPOE personnel attend ongoing training?	<input type="checkbox"/> YES <input type="checkbox"/> NO	PLEASE SPECIFY TRAINING:
Are SPOE personnel credentialed? If not, enter date due per person in the comment section.	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS:
Please rate the LPCC's responsiveness to the needs and concerns of the SPOE on a scale of 1 to 5 with 1 representing not satisfied and 5 representing very satisfied.  <small>(If the rating is not satisfactory to either the LPCC or SPOE,</small>		COMMENTS:

a collaborative outcome must be developed between the two entities.)

## LPCC SURVEY OF SPOE OPERATIONS

<p>Does the SPOE identify unmet needs to the LPCC? (This may be an absence of providers, locations of service, other family needs that are not being met by the community as well as training needs.) Identify how this occurs.</p> <p>(If not, please provide an outcome on how this will be accomplished.)</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO	<p>COMMENTS:</p>
<p>Has the LPCC been made aware of specific complaints regarding the SPOE activities?</p> <p>(If so, please provide an outcome as to how the complaint issue has been or will be rectified.)</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO	<p>COMMENTS:</p>
<p>Please specify how the LPCC ensures that the SPOE provides an unbiased selection of providers?</p> <p>(If there is a concern that provider selection is not done in an unbiased manner, please include an outcome on how this will be achieved.)</p>		<p>COMMENTS:</p>
<p>Does the SPOE provide data reports to the full council? (refer to SPOE Outcome I)</p> <p>(If this is not the information that was described in last years RFF, please specify why not.)</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO	<p>COMMENTS:</p>
<p>On a scale of 1 - 5 please rate the council's overall satisfaction with the SPOE? (1=not satisfied, 5=very satisfied)</p>		<p>COMMENTS:</p>
<p>Has the LPCC received feedback on family satisfaction with the intake process?</p> <p>If so, please specify by what method feedback was received. If no, the LPCC will need to develop an outcome.</p>	<input type="checkbox"/> YES: <input type="checkbox"/> )	<p>COMMENTS:</p>
<p>Has the LPCC received feedback on provider satisfaction with the SPOE functions?</p>	<input type="checkbox"/> YES	<p>COMMENTS:</p>



If so, please specify by what method feedback was received. If no, the LPCC will need to develop an outcome.	<input type="checkbox"/> NO	
Does the SPOE put forth the values and attitudes that the LPCC feel are necessary?	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS:
Does the SPOE maintain an independent identity that is exclusive of an affiliation with any entity?	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments

Additional Comments:



## SPOE OUTCOME I

**Outcome Statement:** The SPOE data system will contain complete, accurate and up-to-date information.

Strategies/Activities:	1 Student	2 Teacher	3 Parent	4 Community	Individual Responsible

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SPOE outcome as identified by the LPCC and/or SPOE (copy as needed).

<b><u>Outcome Statement:</u></b>					
<b><u>Strategies/Activities:</u></b>	1	2	3	4	<b>Individual Responsible</b>
	s	n	r	t	
	t	d	d	h	
	C	C	C	C	
	u	u	u	u	
	a	a	a	a	
	r	r	r	r	
	t	t	t	t	
	e	e	e	e	
	r	r	r	r	

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## Agreement Between the Local Planning and Coordinating Council and

\_\_\_\_\_  
SYSTEM POINT OF ENTRY SERVICES

### **I. Roles and Responsibilities**

**Local Planning and Coordinating Council (LPCC): TO WHAT EXTENT will the LPCC:**

1. Design, development, implementation and monitoring of local Child Find activities utilizing the statewide logo and other materials as developed;
1. Design, development, implementation and monitoring of public relations activities utilizing

the statewide logo and other materials as developed;

2. Recruitment of early intervention providers to enroll as specialty personnel through the Central Reimbursement Office, thereby ensuring access to all sixteen of the required services within the local service area;
3. Identification, development and oversight of the System Point of Entry;
4. Responsible for interagency agreements that address 1) maintenance of effort, 2) non-duplication, 3) referrals and participation in the IFSP process, and 4) transition activities for children prior to the age of three and their families;
6. Review data and consumer information to identify areas of need in terms of ensuring the availability of a variety of communities, natural settings for the delivery of all early intervention services;
7. Providing guidance and assistance to the Fiscal Agent and SPOE in the preparation and application for the grant funds for SPOE;
8. Participation in the recruitment, selection and employment (including supervision) of the SPOE employees.

**B. System Point of Entry: TO WHAT EXTENT will the SPOE:**

1. Provides a central location and process to ensure equal access to the local early intervention services system utilizing the vision and criteria set forth by the LPCC;
2. Ensures the development of a multidisciplinary team developed for each child referred that will conduct the evaluation for eligibility determination activities according to the procedures and requirements set for the by the Lead Agency pursuant to state and federal regulations;
3. Ensures that eligible children and their families will have an individualized Family Service Plan (IFSP) developed within 45 days of initial referral to the SPOE;
4. Provides entry-level service coordination for all children and families referred through the initial 45 days, or the completion of the IFSP, whichever occurs first;
5. Ensures that all families receive timely and accurate information concerning their due process and procedural safeguards;
6. Develops and maintains the comprehensive early intervention (EI) record for all children referred and enrolled in early intervention services as required under federal regulations;
7. Is responsible for the electronic data transmission and record maintenance obligations with the Central Reimbursement Office (CRO);
8. Ensures confidentiality of all information as required by the Family Educational Rights and Privacy Act (FERPA);
9. Works within the scope of state policy and procedures as complies with the state's comprehensive quality review system.

**C. Fiscal Agent: TO WHAT EXTENT will the Fiscal Agent:**

1. Receipt and disbursement of funds;
2. Prepares and applies for the SPOE grant with the assistance, guidance of the LPCC;
3. Compliance with state and federal regulations;
4. Provides leadership in the recruitment, selection and employment (including supervision) of the SPOE personnel in collaboration with the LPCC;
5. Employs (hires, fires and supervises) the SPOE personnel on behalf of the LPCC utilizing their

- personnel policies and procedures;
- 5. FSSA contractual obligations.

## **II. Budget Development and Management**

### ***A. Local Planning and Coordinating Council: TO WHAT EXTENT will the LPCC:***

- 1. Provides leadership with the SPOE in the development of a budget based on annual plan and grant amount.

### ***B. System Point of Entry: TO WHAT EXTENT will the SPOE:***

- 1. Provides leadership with the LPCC in the development of a budget based on annual plan and grant amount;
- 2. Utilizes the procedures established by the Fiscal Agent for purchasing and expenses;
- 3. Maintains the program operations within the budget guidelines.

### ***C. Fiscal Agent: TO WHAT EXTENT will the Fiscal Agent:***

- 1. Compile the budget and program information from the LPCC and SPOE into a single grant document and submit this to FSSA;
- 2. Submit quarterly and annual expenditure reports to FSSA;
- 3. Pay bills;
- 4. Ensure that expenditures are allowable under the approved budget;
- 5. Keep fiscal records;
- 6. Provide regular and routine reports to the LPCC and SPOE as requested;
- 7. Submit grant revisions on behalf of the SPOE, with the participation of the LPCC, to the FSSA.

## **III. Staff Recruitment, Employment and Supervision**

### ***A. Local Planning and Coordinating Council: TO WHAT EXTENT will the LPCC:***

- 1. Participate in the development of job descriptions for SPOE personnel;
- 2. Participate in the development of SPOE personnel and conduct interviews, and routine performance reviews.

### ***B. System Point of Entry: TO WHAT EXTENT will the SPOE:***

- 1. Participate in the development of job descriptions for SPOE personnel;
- 2. Make hiring recommendation to Fiscal Agent;
- 3. Ensure that day to day supervision of SPOE personnel is provided;
- 4. Participate in the evaluation of SPOE personnel and activities with the Fiscal Agent and LPCC as locally determined;
- 5. Utilize the personnel policies of the Fiscal Agent for all SPOE personnel.

**C. *Fiscal Agent: TO WHAT EXTENT will the Fiscal Agent:***

1. Final hiring decision based upon LPCC recommendations;
2. Employment of SPOE personnel on behalf of the LPCC;
3. Provide personnel policies for staff, including hire, fires and supervision responsibilities in concert with the SPOE and LPCC for all SPOE personnel;
4. Participate in the evaluation of SPOE personnel and activities with the LPCC.

**IV. Office Space, Equipment and Supplies**

**A. *Local Planning and Coordinating Council: TO WHAT EXTENT will the LPCC:***

1. Ensure that the physical facilities of the SPOE are handicapped accessible and meet the requirements of the ADA and Section 504 of the Rehabilitation Act.

**B. *System Point of Entry: TO WHAT EXTENT will the SPOE:***

1. Select and maintain physical facilities that are handicapped accessible and meet the requirements of the ADA and Section 504 of the Rehabilitation Act, and that reflect the vision of the LPCC in the design of the SPOE;
2. Ensure the confidentiality of all personally identifiable information.

**C. *Fiscal Agent: TO WHAT EXTENT will the Fiscal Agent:***

1. Approve program purchase reports;
2. Maintain lease for facilities, inventory of equipment and supplies;
3. Monitor expenditures to assure that they fall within the scope of the budget.

**V. Payment for Services**

**Local Planning and Coordinating will budget for Fiscal Agent's direct and indirect charges not to exceed 8% of the total allocation for the purposes of prime fiscal services for the SPOE.**

**VI. Conflict Resolution**

How will conflicts be identified, managed and resolved without undue hardship or penalty to the Local Planning and coordinating Council or SPOE, or others by reference? What types of resources does the LPCC need, and what will be the "triage" or approach to accessing these



resources for dispute resolution?

1. Chair(s) of the Local Planning and Coordinating Council;
2. Unified Training System (UTS);
3. Consultants to FSSA/First Steps;
4. Lead Agency.

Resolution of Conflict should occur at the lowest level possible, and should be as rapid and timely as scheduled permit.

**VII. Terms of Agreement (April 1, 2001 to March 31, 2003)**

**This agreement will be in effect for Fiscal Year 2001 - 2003. The agreement can be extended with the mutual consent of both parties at annual budget preparation time. Each party agrees to continue to work under the agreement until the end of this fiscal year, at which time the agreement will be reviewed and revised accordingly.**

**Signatures:**

**Date:**

\_\_\_\_\_  
**Local Planning and Coordinating Council Chairperson**

\_\_\_\_\_  
**Local Planning and Coordinating Council Fiscal Agent**

\_\_\_\_\_  
**Authorized Representative of the System Point of Entry**

**A copy of this negotiated agreement shall be given to all parties.**